



PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 6 :

H04Q

(11) International Publication Number:

WO 97/34426

(43) International Publication Date: 18 September 1997 (18.09.97)

(21) International Application Number: PCT/US97/02894

(22) International Filing Date: 26 February 1997 (26.02.97)

(30) Priority Data:

60/012,447

28 February 1996 (28.02.96)

US

08/694,529

9 August 1996 (09.08.96)

US

(71) Applicant: ENCANTO NETWORK, INC. [US/US]; Suite 400, 2953 Bunker Hill Lane, Santa Clara, CA 95054 (US).

(72) Inventors: KEYWORTH, George, A., II; 41 Avenida De Las Casas, Casas De San Juan, Santa Fe, NM 87501 (US).  
KRISHAN, Kalyan, V.; 88 Palacio Court, Fremont, CA 94539 (US).

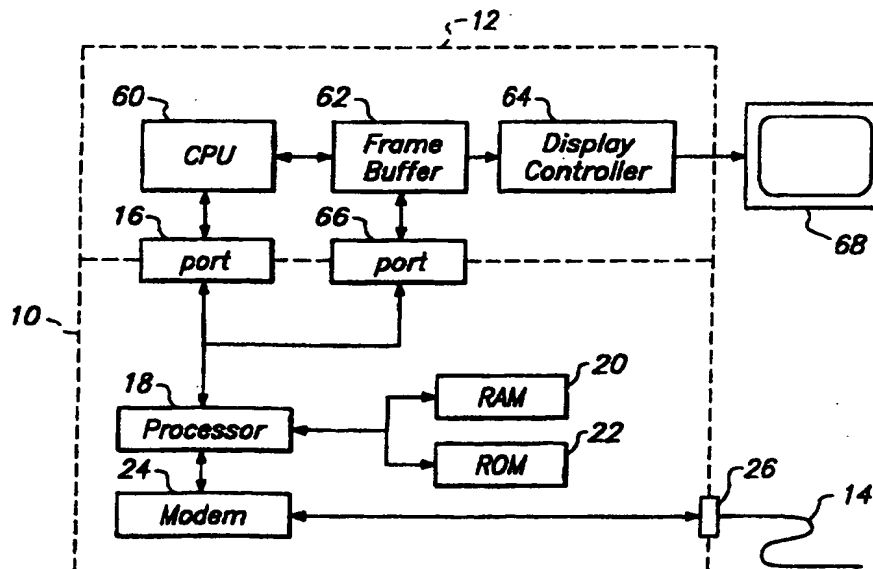
(74) Agents: JACKSON, Robert, R. et al.; Fish &amp; Neave, 1251 Avenue of the Americas, New York, NY 10020 (US).

(81) Designated States: AU, CA, JP, MX, European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).

Published

Without international search report and to be republished upon receipt of that report.

(54) Title: INTELLIGENT COMMUNICATION DEVICE



(57) Abstract

A communication device is provided that is controlled through the use of small programs or applets that are executed by a processor within the device. The applets may be located into the device from a local host computer or may be downloaded from a remote device or computer. Applets provide a convenient means for maintaining up to date communications protocols and for updating the device with new features and capabilities. Downloading applets from a remote device may provide automatic encryption capabilities on a session unique basis thereby providing enhanced security in data communications. A direct connection between the communication device and the host computer's video subsystem provides accelerated video access for applets executing on the device.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AM	Armenia	GB	United Kingdom	MW	Malawi
AT	Austria	GE	Georgia	MX	Mexico
AU	Australia	GN	Guinea	NE	Niger
BB	Barbados	GR	Greece	NL	Netherlands
BE	Belgium	HU	Hungary	NO	Norway
BF	Burkina Faso	IE	Ireland	NZ	New Zealand
BG	Bulgaria	IT	Italy	PL	Poland
BJ	Benin	JP	Japan	PT	Portugal
BR	Brazil	KE	Kenya	RO	Romania
BY	Belarus	KG	Kyrgyzstan	RU	Russian Federation
CA	Canada	KP	Democratic People's Republic of Korea	SD	Sudan
CF	Central African Republic	KR	Republic of Korea	SE	Sweden
CG	Congo	KZ	Kazakhstan	SG	Singapore
CH	Switzerland	LI	Liechtenstein	SI	Slovenia
CI	Côte d'Ivoire	LK	Sri Lanka	SK	Slovakia
CM	Cameroon	LR	Liberia	SN	Senegal
CN	China	LT	Lithuania	SZ	Swaziland
CS	Czechoslovakia	LU	Luxembourg	TD	Chad
CZ	Czech Republic	LV	Latvia	TG	Togo
DE	Germany	MC	Monaco	TJ	Tajikistan
DK	Denmark	MD	Republic of Moldova	TT	Trinidad and Tobago
EE	Estonia	MG	Madagascar	UA	Ukraine
ES	Spain	ML	Mali	UG	Uganda
FI	Finland	MN	Mongolia	US	United States of America
FR	France	MR	Mauritania	UZ	Uzbekistan
GA	Gabon			VN	Viet Nam

## INTELLIGENT COMMUNICATION DEVICE

Benefit of United States Provisional  
Application No. 60/012,447, filed February 28, 1996, is  
5 claimed herefor."

Background of the Invention

Modems provide a means for remote computers  
to communicate over the Public Switched Telephone  
Network ("PSTN"), and have been in use for several  
10 decades. While data transmission rates using analog  
modems have risen considerably over the past decades,  
from 120 bits-per-second (bps) to 28,800 bps, command  
and control technology has remained relatively static.

The *de facto* industry standard modem command  
15 set is the "Hayes AT-command set" created in the late  
1970's. The AT-commands consist of an attention  
sequence, usually the characters 'AT', followed by a  
sequence of commands and terminated by a carriage  
return, wherein command sequences are comprised of one  
20 to three characters possibly with a data value. This  
procedural "one command at a time" technology does not  
provide much flexibility or adaptability in controlling  
operation of a modem. Nor does it provide for

- 2 -

significant autonomous, intelligent, processing within the modem itself.

Some previously known modems provide "alterable" read only memory, such as Flash-ROM or EEPROM, so that the control and processing software in the modem may be updated as new code revisions are released. However, this is primarily intended as a means to fix bugs in modem software and to provide minor upgrades in modem features and capabilities. In addition, the software stored, for example, in the EEPROM, is intricately tied to the specific hardware used in the modem and is therefore highly machine dependent. Thus, software updates for one modem are unlikely to work with a different modem.

Modems are used to connect a user's computer to a remote computer. Recently, the Internet has become an important medium of communication, and the world wide web (web) has become an important source of services and information. Many users use a modem and dial-up lines to access the Internet from home or office. Recent developments in web technologies enable small programs, or applets, to be embedded in web pages. When a user views a web page, the applet is downloaded, along with other page contents, and then executed on the user's computer. Thus, in addition to interpreting and rendering the web page, the user's computer must also interpret and execute the applet, increasing the computational burden on the user's computer. The fact that many applets are highly graphical in nature only increases this burden.

An additional concern regarding computer communications is the lack of automatic security

- 3 -

features. While software and hardware currently exists to encrypt data, much of it is expensive to obtain, or difficult to use, and is therefore restricted to use by large institutions. As a result only a small amount of  
5 inter-computer communications are encrypted.

In view of the above mentioned difficulties in the art, it would be desirable to provide a method of controlling modem hardware in a flexible, programmable manner that is largely independent of  
10 specific modem hardware and is therefore portable from one modem to another.

It would also be desirable to provide a means for assisting a host computer in interpreting a data stream and in executing programs or applets that may be  
15 embedded in the data stream.

It would also be desirable to provide a means of automatically providing for relatively secure inter-computer data communications.

#### Summary of the Invention

20 The objects of the present invention are met by providing a modem in which new commands comprising small programs or "applets" may be loaded into the modem either from a host or a remote computer. The applets may then be invoked by the host or remote  
25 computers and executed by a processor within the modem itself. Because the applets are written in a high level language and encoded in a portable way, the applets may run on a wide variety of modem hardware configurations. In a preferred embodiment, the modem  
30 includes hardware or software access to a frame buffer of the host computer to increase the rate that applets can update screen images.

- 4 -

### Brief Description of the Drawings

The above and other objects and advantages of the present invention will be apparent upon consideration of the following detailed description, taken in conjunction with the accompanying drawings, in which like reference characters refer to like parts throughout, and in which:

FIG. 1 is an illustrative block diagram of a software commanded intelligent modem in accordance with the principles of the present invention; and

FIG. 2 is an exemplary flow diagram of the process of downloading an applet from a remote modem.

FIG. 3 is an illustrative block diagram of an exemplary host computer and modem, including a dedicated interface between the modem and a frame buffer of the host computer.

### Detailed Description of the Invention

Referring to FIG. 1, software-controlled modem 10, constructed in accordance with the principles of the present invention is described. Modem 10 is shown coupled, via jack 26, to telephone line 14, which may be either an analog or digital phone line, via data port 16, and to host computer 12, which may be any general purpose computer such as an IBM AT-PC or Apple MACINTOSH type computer. Alternatively, host 10 may be a personal digital assistant (PDA), electronic organizer, pager, cellular telephone, or other device capable of performing user input and output functions.

Data port 16 provides a means of exchanging data between modem 10 and host computer 12 and may be any conventional interface such as a RS-232 (EIA-232)

- 5 -

serial interface or a Enhanced Parallel Port (EPP) interface. Alternatively, modem 10 may be an add-in card for installation in an expansion slot of computer 10, wherein data port 16 may comprise an expansion bus interface. Similarly, jack 26 may be any jack compatible with connecting to telephone line 14, such as a standard RJ-45 type modular jack. Alternatively, jack 26 may be a generic jack or connector, and a special purpose adapter cable may couple the jack to telephone line 14.

Modem 10 also includes controller 18, RAM 20, ROM 22, and modem circuitry 24. Controller 18 controls the operation of modem circuitry 24 in accordance with program instructions stored in RAM 20 and ROM 22. Controller 18 may be any suitably powerful general purpose microprocessor, such as a 80386 class processor manufactured by Intel, Santa Clara, California. Alternatively controller may be a digital signal processor (DSP) such as a member of the 53600 DSP family manufactured by Motorola, Schaumburg, Illinois.

RAM 20 provides storage for applets and a temporary scratchpad area for processor 18. RAM 20 may also include battery backed RAM for long term storage of applets and configuration parameters used by the modem software. ROM 22, which may include EEPROM or other type of alterable read only memory includes programming for controlling overall operation of modem 10, and for executing applets stored in RAM 20. Preferably, ROM 22 also includes programming for supporting standard modem command sets, such as the "Hayes AT" command set.

- 6 -

In a preferred embodiment of the present invention, ROM 22 includes program code implementing a virtual machine for execution of programs written in the Java programming language. The Java language is an  
5 general purpose, object-oriented computer language developed by Sun Microsystems specifically for networking applications, and is described in Programming in Java!, Tim Ritchey, New Riders Publishing, Indianapolis, Indiana, 1995, which is  
10 incorporated herein in its entirety by this reference.

Applets written in the Java language are compiled into a machine independent, byte-coded "machine language" that is executed on the "Java virtual machine." Currently, Java virtual machines are  
15 software based, although a few processors have been announced that execute Java byte-codes directly.

Applets may be downloaded into modem 10 from host computer 12 by the host sending a "load applet" command to modem 10 followed by the compiled applet  
20 code itself. To provide maximum modem compatibility, the "load applet" command is, preferably, an extension of and compatible with existing modem command sets, such as the Hayes-AT command set. The downloaded applet code is stored in RAM 20, and a verification  
25 routine stored in ROM 22 is executed by processor 18 to verify and validate the downloaded code. This step assures that the code complies with the Java language definition and helps maintain system integrity and security.

30 Alternatively, modem 10 may load an applet from a remote computer or modem via telephone line 14. For example, it may be desired to connect host computer



- 7 -

10 to a computer at a bank, or other financial institution, for the purpose of conducting financial transactions. Using presently available technologies, data transmitted between host computer 10 and the  
5 bank's computer is transmitted in the clear (i.e. unencrypted) subjecting the data to theft or compromise.

Alternatively, custom software that encrypts the data being transferred may be executed on host  
10 computer 10 and the bank's computer. While this may minimize the chance of transferred data being compromised, the custom software typically only works with a specific remote site. Thus, software that works with one bank's computer may not work with another  
15 bank's computer. The user must then keep software for each remote computer that requires a secure data link. In addition, whenever the bank's software is changed or upgraded, the user must go through the process of installing new user software on host computer 10.

20 In accordance with the principles of the present invention, modem 10 may negotiate with a remote modem for the transfer of an applet, which may be an applet for data encryption. The negotiations may take place when a communications link is first established  
25 between modem 10 and the remote modem, or may be delayed until secure communications are specifically requested. Following the transfer negotiations, the applet is received from the remote modem and stored into RAM 22. The applet is then verified as described  
30 above. The verified code may then be executed as needed by processor 18.

- 8 -

FIG. 2 shows an illustrative negotiation and transfer sequence for downloading an encryption routine. At step 30, modem 10 send a message to the remote modem inquiring if the remote modem is Java enabled. The remote modem may respond negatively indicating it is unable to receive applets because, for example, the remote modem is an old modem without the capability of downloading applets, or the download feature may be disabled. Alternatively, the request at step 30 may "timeout" indicating that the remote modem does not recognize the negotiation sequence. In any case, a negative or missing response to the Java request causes the sequence to proceed to step 32, wherein alternatives to using Java applets are considered. For example, applets written in another programming language may be used. Alternatively, a user may be given an opportunity to fix the problem (e.g. reenable applet downloading), to continue without downloading the applet, or to abort the process. If there are no alternatives to using Java applets the sequence aborts at step 34, otherwise, the alternative is used (step 36) and processing continues at step 52.

However, if the remote modem responds affirmatively to the Java request, then modem 10 inquires at step 38 if the remote modem has a specific applet, for example a particular encryption applet. If the remote modem responds "no" then modem 10 proceeds to step 44 and transmits the applet to the remote modem. If the remote modem has the requested applet, it responds by sending a "yes" along with the version number of the applet.

- 9 -

At steps 40 and 42, modem 10 determines if the applet on the remote modem is the same version as the applet used by modem 10, and if not, which modem has the newer version. If the versions are the same, then the negotiation is completed and processing continues at step 52. However, if the remote modem has a newer version of the applet, then at step 48 modem 10 downloads the newer applet from the remote modem, and verifies the applet at step 50. If the applet is verified then the sequence continues through step 52. Otherwise, modem 10 returns to step 48 and repeats the downloading process until verification is successful. Alternatively, if modem 10 has a newer version of the applet, the sequence proceeds to step 44 wherein modem 10 transmits the applet to the remote modem. The remote modem then notifies modem 10 of the results of verification. If verification was unsuccessful, then the applet is resent, otherwise, the sequence continues through step 52.

The sequence shown in FIG. 2 presents a generic outline of a negotiation sequence between intelligent modems according to the present invention. Clearly, embellishments may be made to the negotiation sequence shown in FIG. 2. For example, the loop, comprising steps 44 and 46, for sending an applet to the remote modem may include a test for limiting the number of attempts at sending the applet, thereby preventing modem 10 from getting stuck in the send loop. Or, for example, a test may be inserted between steps 40 and 42 to determine if both modems have a common version of the applet that the modems could use, even if it is not the latest version. This may save

- 10 -

the overhead involved in transmitting a newer applet when a slightly older version of the applet is sufficient. One skilled in the art will recognize other modifications and embellishments which may be added to the negotiation sequence of FIG. 2.

Loading an applet from a remote modem provides a facility for automatic data encryption services. For example, any time a connection is established between modem 10 and a similar remote modem, the use of a data encryption applet may be negotiated. If the modems already contain the same version of the encryption applet then data transfers may begin. If, however, one of the modems lacks the encryption applet, or has an older, out-of-date version, the modems may negotiate to transfer the new version. Preferably, the newer version of the applet is cached or otherwise retained by modem 10 or host 12 for later use. Alternatively, applets may be discarded after use (i.e. after disconnecting). Thus, either the bank or the user may upgrade to a newer version of the security software without fear of incompatibility with older access software.

Security may be further enhanced by using encryption applets that are session unique. In other words each time modem communication link is established a different encryption applet is used. In addition to on-line banking, simple, robust, and strong security measures are a necessary first step to a wide range of on-line services and transactions.

Additionally, applets may be used to scan incoming data for potentially hazardous programs, such as virus, worm, or Trojan horse programs. These types

- 11 -

of programs have the potential to damage both hardware and software resources on host computer 12. By automatically scanning data transferred through modem 10, the modem may discard the offending transfer or may alert the user to a potential rogue program.

Similarly, an applet may provide filtering of "junk e-mail" or other unwanted data. For example, an applet may search for e-mail headers in data received via telephone line 14 and discard any e-mail messages from a particular individual or has a specified 'subject:' line. Alternatively, an applet may prioritize incoming messages based on a user specified criteria, arranging to deliver the most urgent message first. This may be particularly useful in a mobile, radio-based, inter-computer communication environment.

The use of applets to control modem 10 provides for easy upgrades or updates of modem control software stored in the alterable portion of ROM 22. For example, if modem 10 connects to a remote modem having a different modem communications protocol, the two modems may negotiate to transfer an applet for the better protocol (i.e. newer, or faster, or more robust). Thus, the modem having older software is updated to the latest version.

Special flags or data values within each applet may be used to indicate various information about the applet. A first flag may indicate that the applet is not transferrable and a modem should not transfer such an applet to another modem. Another flag may indicate that the applet should not be cached. For example, a session encryption applet should not be

- 12 -

cached because it will not be used again in a future session.

Alternatively, a data value may be used as a counter or expiration date for an applet. Each time  
5 the applet is used the counter is decremented or the date is checked against the expiration date. If the counter reaches zero or the expiration date is passed then the applet is not run, and may be removed from RAM  
20 or ROM 22. This provides a means for a user to  
10 "test drive" an applet before purchase, while protecting the interests of the seller/developer of the applet. Through judicious use of the 'transferrable' and the 'cacheable' flags, as well as the expiration counter, an applet author can ensure that an applet  
15 receives wide distribution, for trial use by potential customers.

Referring now to FIG. 3, an alternative illustrative embodiment of the present invention is described. Host computer 12 includes CPU 60, frame  
20 buffer 62, display controller 64, and display 68. Modem 10 contains the same components as described above in connection with FIG. 1. In addition, modem 10 also includes video interface 66 coupled to frame  
25 buffer 62. Alternatively, video interface 66 may instead couple processor 18 to display controller 64.

In a preferred embodiment of the present invention video interface 66 comprises a standard interface such as a VGA feature connector or the Zoomed Video port described in the CardBus specification  
30 (similar to PCMCIA). Alternatively, data port 16 and video interface 66 may comprise a conventional high speed data bus, such as VESA local bus or PCI bus,

- 13 -

wherein high speed device drivers and DMA or bus mastering techniques may be used to transfer video data between modem 10 and frame buffer 62.

Video interface 66 provides processor 18 with  
5 accelerated access to frame buffer 62. Without video interface 66, graphical data from applets executing on modem 10 need to be transferred to frame buffer via CPU 60, slowing display updates. However, with video interface 66, graphical applets executing on modem 10  
10 may access frame buffer 62 directly, thereby providing rapid screen updates. For example, modem 10 may execute a Java applet that creates a short animation sequence. Without video interface 66, the animation might appear slow and jerky due to the relatively low  
15 data rate available between processor 18 and frame buffer 62 via CPU 60. However, in accordance with the principles of the embodiment of FIG. 3 of the present invention, video interface 66 provides direct access from modem processor 18 to frame buffer 62. Thus, an  
20 animation may appear more quickly and smoothly, with fewer dropped frames.

In addition, video interface 66 may provide improved response for live video, such as video conferencing, video phone, or whiteboard type  
25 applications. In these instances, modem processor 18 may intercept an incoming video image, decode the image, and send it directly to the frame buffer, instead of transmitting the data to the host CPU. Processor 18 may also capture a portion of an image  
30 from frame buffer 62 for transmission to a remote computer.

- 14 -

While the preferred embodiment of the present invention has been disclosed in terms of an intelligent, software based modem, other embodiments are contemplated. For example, analog modem circuitry

5 24 may instead comprise circuitry implementing a digital line connectors, a packet radio transceiver, a local area network connector, or cable modem. Obviously, in each instance, telephone line 14 would instead be the corresponding transmission medium, e.g.

10 coaxial cable for a cable modem.

Similarly, software languages other than the Java may be used. The Java language is currently popular for use in networked devices and is therefore a good choice for the present invention. However, other

15 languages and standards are emerging in the field of inter-computer communications which may used in the context of the present invention.

One skilled in the art will appreciate that the present invention may be practiced by other than

20 the described embodiments, which are presented for purposes of illustration and not of limitation.



- 15 -

What Is Claimed Is:

1. A data communication device for transmitting and receiving data between a host device and a remote device, the data communication device comprising:

an interface adapted for coupling the data communication device to the host device;

modem circuitry adapted for communicating data with the remote device;

a first memory for storing a command routine written in a general purpose programming language; and

a processor coupled to the interface, the first memory, and the modem circuitry, the processor programmed to execute the command routine.

2. The data communication device as defined in claim 1 wherein the command routine is encoded as a sequence of fixed-length codes, the fixed-length codes that are processor-independent, the processor being programmed to execute the command routine by interpreting the sequence of fixed-length codes.

3. The data communication device as defined in claim 2 wherein the fixed-length codes comprise byte codes.

4. The data communication device as defined in claim 3 wherein the byte codes conform to a specification of the Java programming language.

- 16 -

5. The data communication device as defined in claim 1 wherein the modem circuitry comprises circuitry selected from a group consisting of a telephone modem, a cable modem, a digital line interface, a local area network interface, and a packet radio transceiver.

6. The data communication device as defined in claim 1 wherein the processor is programmed for receiving a command routine from the host device and storing the received command routine in the first memory.

7. The data communication device as defined in claim 1 wherein the processor is programmed for receiving a command routine from a remote device via the modem circuitry and storing the received command routine in the first memory.

8. The data communication device as defined in claim 1 further comprising a second memory coupled to the processor, the second memory being a non-volatile memory, the processor being further programmed to transfer a command routine from the first memory to a second memory.

9. A data communication device for transmitting and receiving data between a host device and a remote device, the data communication device comprising:

an interface adapted to couple the data communication device to the host device for the transfer of data therebetween;

- 17 -

modem circuitry for communicating data with a remote device to receive a command routine;

a first memory for storing the command routine; and

a processor coupled to the interface, the modem circuitry, and the first memory, the processor being programmed to execute the command routine to control transmission and reception of data between the host device and the remote device.

10. The data communication device as defined in claim 9 wherein the command routine is encoded in the form of fixed-length codes, the fixed length codes being processor-independent.

11. The data communication device as defined in claim 10 wherein the fixed-length codes comprise byte-codes, wherein the byte-codes are compatible with a specification of the Java programming language.

12. The data communication device as defined in claim 9 wherein the processor executes the command routine directly.

13. The data communication device as defined in claim 9 further comprising a second memory, the second memory including programming for an interpreter of the byte-codes, the processor uses the interpreter to execute the command routine.

14. The data communication device as defined in claim 9 wherein the command routine controls

- 18 -

transmission and reception of data between the host device and the remote device by providing a security function.

15. The data communication device as defined in claim 14 wherein the security function provides encryption of the data transferred between the host device and the remote device.

16. The data communication device as defined in claim 14 wherein the security function scans the data transferred between the host device and the remote device for computer viruses.

17. A method of controlling a data communication device comprising an interface to a host device, a memory, modem circuitry coupled to a remote device, and a processor coupled to the interface, the memory, the modem circuitry and the processor, the method comprising steps of:

receiving a command routine from the remote device via the modem circuitry;

storing the received command routine in the memory; and

retrieving portions of the command routine from the memory and transferring the portions to the processor; and

executing the portions of the command routine to control the data transfer between the host device and the remote device.

- 19 -

18. The method as defined in claim 17 further comprising steps of verifying that the command routine complies with a specification of a command language.

19. The method as defined in claim 17 wherein the step of executing portions of the command routine comprises a step of executing an interpreter to interpret the command routine.

20. The method as defined in claim 17 where in the step of executing portions of the command routine comprises a step of executing the command routine to control encryption of data transferred between the host device and the remote device.

21. The method as defined in claim 17 where in the step of executing portions of the command routine comprises a step of executing the command routine to scan data transferred between the host device and the remote device for the presence of computer viruses.

22. A method of securely communicating data between first and second devices, the method comprising the steps of:

establishing a non-secure communication link between the first device and the second device;

transmitting a data encryption routine from the first device to the second device; and

- 20 -

using the data encryption routine to encrypt data communicated between the first device and the second device.

23. The method as defined in claim 22 wherein the step of transmitting the data encryption routine further comprises steps of:

determining whether the second device stores the data encryption routine; and

if the second device is determined to lack the encryption routine, transmitting the data encryption routine from the first device to the second device.

24. The method as defined in claim 22 further comprising steps of:

determining a version of the data encryption routine stored in the second device responsive to a determination that the second device stores the data encryption routine;

comparing the version of the data encryption routine stored in the second device to a current version; and

if the data encryption routine stored in the second device is determined to not be the current version, transmitting the current version from the first device to the second device.

25. The method as defined in claim 22 wherein the data encryption routine is encoded in the form of fixed-length codes, the fixed-length codes being processor-independent, and the step of using the

- 21 -

data encryption routine includes interpreting the fixed-length codes comprising the data encryption routine.

26. The method as defined in claim 22 wherein the second device discards the data encryption routine after communication with the first device terminates.

27. The method as defined in claim 22 wherein the second device retains the data encryption routine after communication with the first device terminates.

28. The data communication device as defined in claim 14 further comprising a video port for coupling the processor to a display subsystem of the host device for the transfer of images therebetween.

1/2

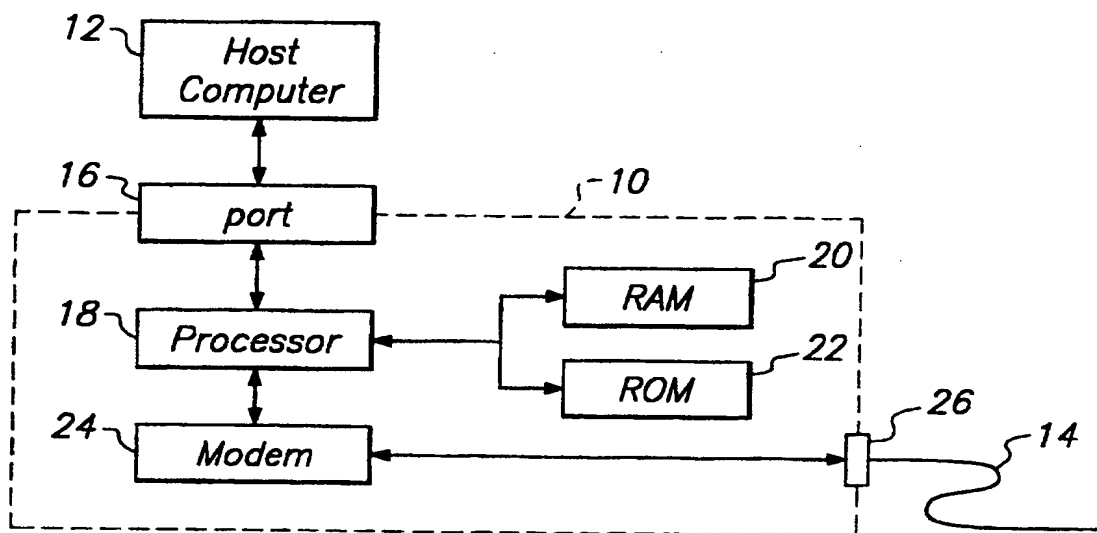


FIG. 1

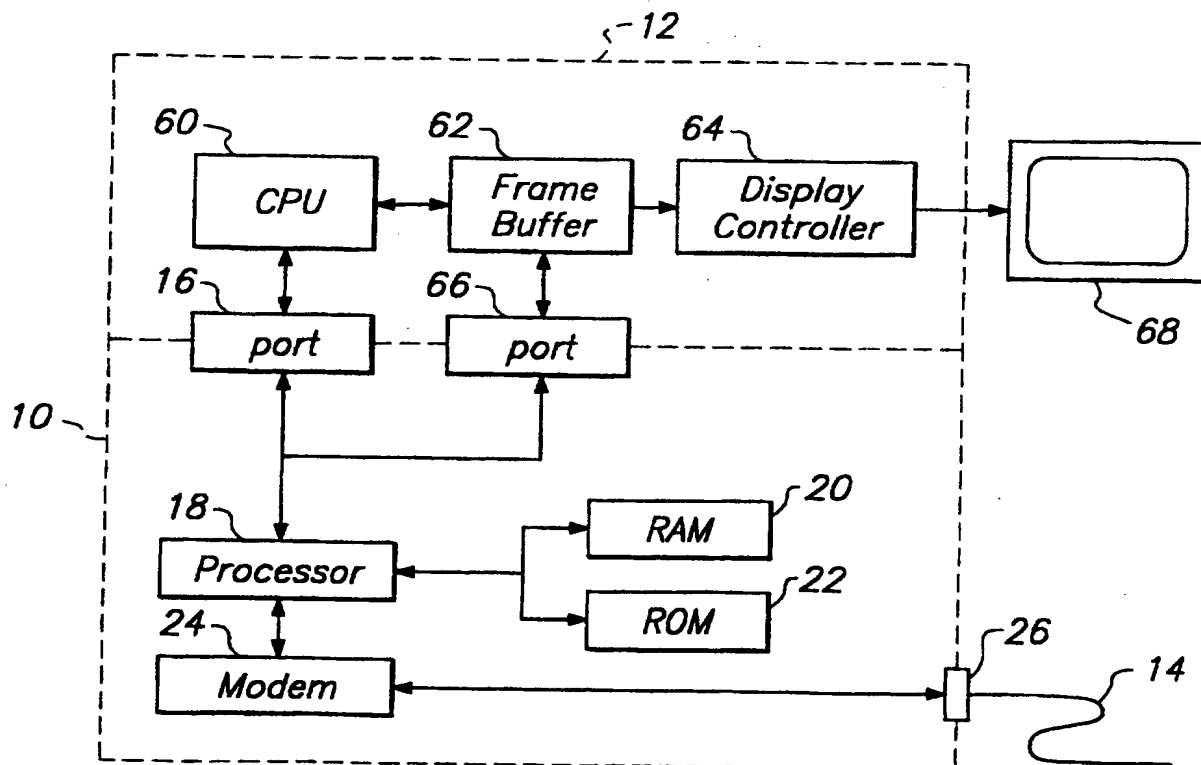


FIG. 3



2/2

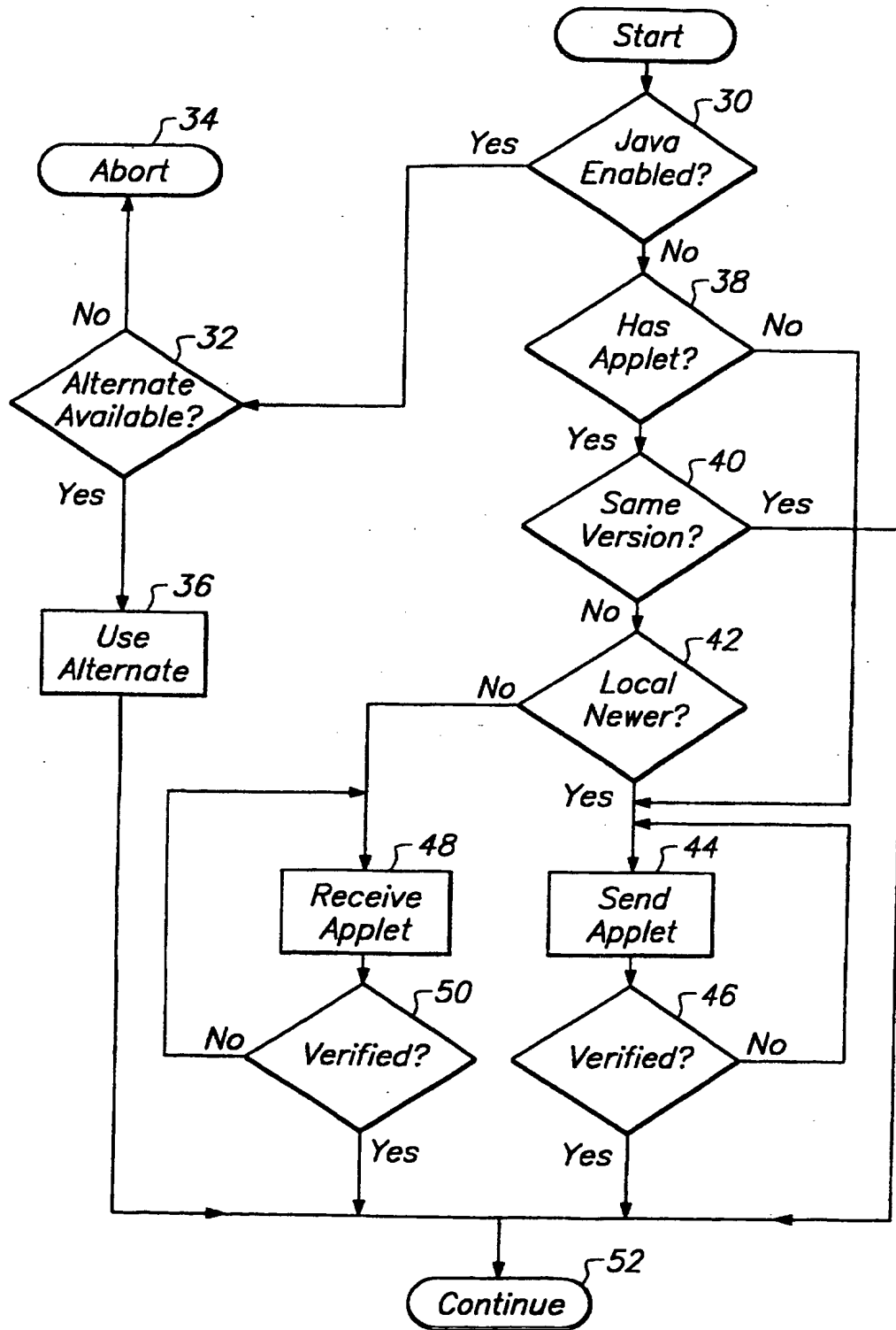


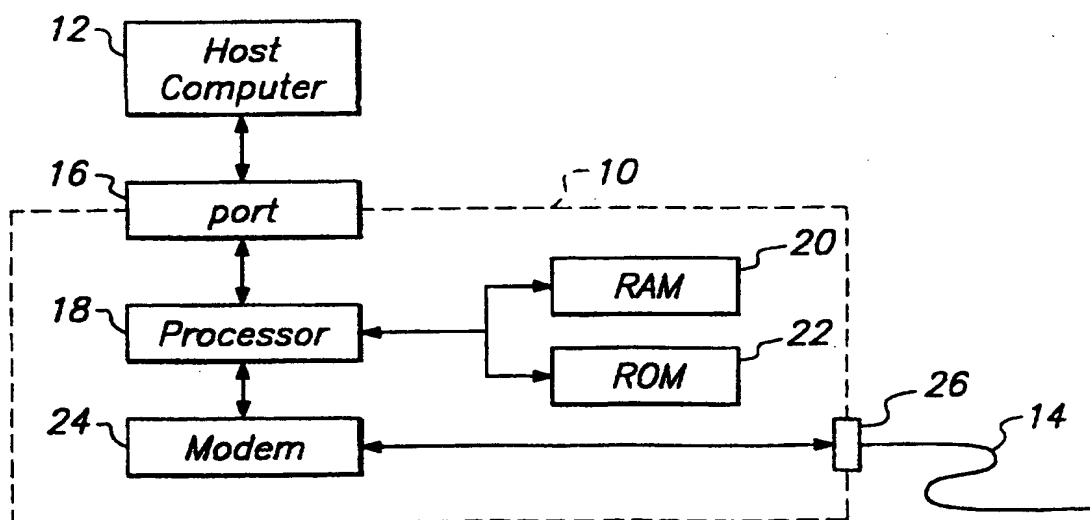
FIG. 2

**THIS PAGE BLANK (USPTO)**



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)-

<b>(51) International Patent Classification 6 :</b> <b>H04L 9/00, H01J 31/00</b>	<b>A3</b>	<b>(11) International Publication Number:</b> <b>WO 97/34426</b> <b>(43) International Publication Date:</b> 18 September 1997 (18.09.97)
<b>(21) International Application Number:</b> PCT/US97/02894 <b>(22) International Filing Date:</b> 26 February 1997 (26.02.97)  <b>(30) Priority Data:</b> 60/012,447      28 February 1996 (28.02.96)      US 08/694,529      9 August 1996 (09.08.96)      US  <b>(71) Applicant:</b> ENCANTO NETWORK, INC. [US/US]; Suite 400, 2953 Bunker Hill Lane, Santa Clara, CA 95054 (US).  <b>(72) Inventors:</b> KEYWORTH, George, A., II; 41 Avenida De Las Casas, Casas De San Juan, Santa Fe, NM 87501 (US). KRISHAN, Kalyan, V.; 88 Palacio Court, Fremont, CA 94539 (US).  <b>(74) Agents:</b> JACKSON, Robert, R. et al.; Fish & Neave, 1251 Avenue of the Americas, New York, NY 10020 (US).		<b>(81) Designated States:</b> AU, CA, JP, MX, European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).  <b>Published</b> <i>With international search report.</i>  <b>(88) Date of publication of the international search report:</b> 30 October 1997 (30.10.97)

**(54) Title:** INTELLIGENT COMMUNICATION DEVICE**(57) Abstract**

A communication device (10) is provided that is controlled through the use of small programs or applets that are executed by a processor (18) within the device. The applets may be loaded into the device from a local host computer (12) or may be downloaded from a remote device or computer. Applets provide a convenient means for maintaining up to date communications protocols and for updating the device (10) with new features and capabilities. Downloading applets from a remote device may provide automatic encryption capabilities on a session unique basis thereby providing enhanced security in data communications. A direct connection (16) between the communication device (10) and the host computer's (12) video subsystem provides accelerated video access for applets executing on the device.

**FOR THE PURPOSES OF INFORMATION ONLY**

**Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.**

AM	Armenia	GB	United Kingdom	MW	Malawi
AT	Austria	GE	Georgia	MX	Mexico
AU	Australia	GN	Guinea	NE	Niger
BB	Barbados	GR	Greece	NL	Netherlands
BE	Belgium	HU	Hungary	NO	Norway
BF	Burkina Faso	IE	Ireland	NZ	New Zealand
BG	Bulgaria	IT	Italy	PL	Poland
BJ	Benin	JP	Japan	PT	Portugal
BR	Brazil	KE	Kenya	RO	Romania
BY	Belarus	KG	Kyrgyzstan	RU	Russian Federation
CA	Canada	KP	Democratic People's Republic of Korea	SD	Sudan
CF	Central African Republic			SE	Sweden
CG	Congo	KR	Republic of Korea	SG	Singapore
CH	Switzerland	KZ	Kazakhstan	SI	Slovenia
CI	Côte d'Ivoire	LI	Liechtenstein	SK	Slovakia
CM	Cameroon	LK	Sri Lanka	SN	Senegal
CN	China	LR	Liberia	SZ	Swaziland
CS	Czechoslovakia	LT	Lithuania	TD	Chad
CZ	Czech Republic	LU	Luxembourg	TG	Togo
DE	Germany	LV	Latvia	TJ	Tajikistan
DK	Denmark	MC	Monaco	TT	Trinidad and Tobago
EE	Estonia	MD	Republic of Moldova	UA	Ukraine
ES	Spain	MG	Madagascar	UG	Uganda
FI	Finland	ML	Mali	US	United States of America
FR	France	MN	Mongolia	UZ	Uzbekistan
GA	Gabon	MR	Mauritania	VN	Viet Nam

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US97/02894

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : H04L 9/00; H01J 31/00.

US CL : 380/4, 49, 50; 395/186, 187.01, 188.01.

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 380/4, 49, 50; 395/186, 187.01, 188.01.

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X ----- Y	US 4,484,025 A (OSTERMANN et al) 20 November 1984, the whole document.	1-3, 5-15, 17-20, 22-28. ----- 4, 16, 21, 23, 24.
X ----- Y	US 4,984,271 A (GOTO) 08 January 1991, the whole document.	1-3, 5-15, 17-20, 22-28. ----- 4, 16, 21, 23, 24.
Y	US 5,319,776 A (HILE et al) 07 June 1994, the whole document.	16, 21.

☒ Further documents are listed in the continuation of Box C.
 ☐ See patent family annex.

* Special categories of cited documents:	"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"A" document defining the general state of the art which is not considered to be of particular relevance	"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"E" earlier document published on or after the international filing date	"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"&" document member of the same patent family
"O" document referring to an oral disclosure, use, exhibition or other means	
"P" document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

29 JULY 1997

Date of mailing of the international search report

29 AUG 1997

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703) 305-3230

Authorized officer

HRAYR A. SAYADIAN

Telephone No. (703) 306-4177

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US97/02894

## C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X ---- Y	BROWN, Mark R., Special Edition Using Netscape 2, Published by QUE, 1995. See especially pages 105-110 and 885-907.	1-28. ---- 4, 16, 21, 23, 24.

## INTERNATIONAL SEARCH REPORT

International application No.

PCT/US97/02894

**Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)**

This international report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☐ Claims Nos.:  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

**Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)**

This International Searching Authority found multiple inventions in this international application, as follows:

Please See Extra Sheet.

1. ☒ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.  
☒ No protest accompanied the payment of additional search fees.

**THIS PAGE BLANK (USPTO)**